




ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
Stylesheet Version v18.0

Title of Invention	Apparatus and Method for Unilaterally Loading a Secure Operating System With a Multiprocessor Environment						
Application Number:		10/043843					
Confirmation Number:		1141					
First Named Applicant:		Michael Kozuch					
Attorney Docket Number:		42P11931					
Art Unit:		2132					
Examiner:		Gilberto Barron					
Search string:		(3996449 or 4430709 or 4802084 or 4975836 or 5187802 or 5230069 or 5295251 or 5361375 or 5469557 or 5506975 or 5555385 or 5555414 or 5574936 or 5956408 or 5978475 or 6044478 or 6088262 or 6175924 or 6188257 or 6275933).pn.					
RECEIVED APR 13 2004 Technology Center 2100							
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	3996449	1976-12-07	Attanasio, Clement R., et al.			
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<input checked="" type="checkbox"/>	17	6088262	2000-07-11	Nasu, Hiroaki
<input checked="" type="checkbox"/>	18	6175924	2001-01-16	Arnold, Todd W.
<input checked="" type="checkbox"/>	19	6188257	2001-02-13	Buer, Mark L.
<input checked="" type="checkbox"/>	20	6275933	2001-08-14	Fine, Michael , et al.

Signature

Examiner Name	Date
<i>[Signature]</i>	26 Sep 05

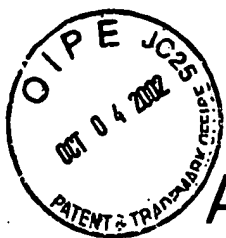
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Electronic Information Disclosure Statement



AN APPARATUS AND METHOD FOR UNILATERALLY LOADING A SECURE OPERATING SYSTEM WITHIN A MULTIPROCESSOR ENVIRONMENT

Application:



10/043843

Confirmation: 1141

Applicant(s): Michael Kozuch

Docket

042390P11931

Number:

Group Art

Unit:

Examiner: Unassigned

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search string: (4,278,837 or 4,307,214 or 4,366,537 or 4,521,852 or 5,075,842 or 5,022,077 or 5,255,379 or 5,293,424 or 5,421,006 or 5,459,869 or 5,473,692 or 5,479,509 or 5,568,552 or 5,615,263 or 5,657,445 or 5,717,903 or 5,729,760 or 5,764,969 or 5,796,845 or 5,805,712 or 5,835,594 or 5,844,986 or 5,890,189 or 5,937,063 or 5,978,481 or 5,987,557 or 6,014,745 or 6,058,478 or 6,158,546 or 6,175,925 or 6,178,509 or 6,205,550 or 6,282,651 or 6,282,657 or 20010037450).pn.

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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

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P03	4,366,537	1982-12-28		Heller, et al.
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P12	5,479,509	1995-12-26		Ugon
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P15	5,657,445	1997-08-12		Pearce
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P33	6,282,651	2001-08-28		Ashe
P34	6,282,657	2001-08-28		Kaplan, et al.

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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

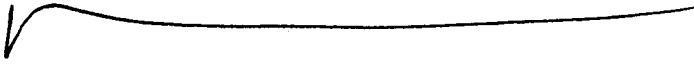
init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
	U01	20010037450	2001-11-01		Metlitski, et al.		

Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. * Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. * This Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. * Applicants respectfully requests that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record. *

Signature

Examiner Name	Date
	26 Sep 05

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number

10/043843

Filing Date

November 1, 2001

First Named Inventor

Kozuch, Michael

Group Art Unit

2132

Examiner Name

Barron, Gilberto

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Sheet 1 of 2

Attorney Docket No: 42P11931**US PATENT DOCUMENTS**

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
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<i>DB</i>	EP-0473913	03/11/1992	Farrell, Joel A.			
<i>DB</i>	WO-0175565	10/11/2001	Ellison, Carl M.			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ¹
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<i>DB</i>		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", Proceedings of the Symposium on Security and Privacy, IEEE Comp. Soc. Press, ISBN 0-8186-1939-2, (May 1989),	
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<i>DB</i>		KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software", Software Engineering Conference, Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8, (1996),	
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EXAMINER

DATE CONSIDERED

26 Sep 05

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number

10/043843

Filing Date

November 1, 2001

First Named Inventor

Kozuch, Michael

Group Art Unit

2132

Examiner Name

Barron, Gilberto

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Sheet 2 of 2

Attorney Docket No: 42P11931**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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EXAMINER**DATE CONSIDERED**

26 Sep 05

Substitute Disclosure Statement Form (PTO-1449)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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2

Complete if Known

Application Number	10/043,843
Filing Date	November 1, 2001
First Named Inventor	Michael A. Kozuch
Art Unit	2132
Examiner Name	Gilberto Barron
Attorney Docket Number	42390P11931

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at [www.uspto.gov/MPEP 901.04](http://www.uspto.gov/MPEP%20901.04). ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST 3). ⁴ For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbol(s) as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/03A (08-03) as modified by Blakey, Solovoff, Taylor & Zelman (w/r) 08/11/2003

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known	
		Application Number	10/043,843
		Filing Date	November 1, 2001
		First Named Inventor	Michael A. Kozuch
		Art Unit	2132
		Examiner Name	Gilberto Barron
		Attorney Docket Number	42390P11931
Sheet	2	of	2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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Examiner Signature		Date Considered	26 Sep 05
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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)	Complete if Known	
	Application Number	10/043843
	Filing Date	November 1, 2001
	First Named Inventor	Kozuch, Michael
	Group Art Unit	2132
	Examiner Name	Barron, Gilberto
Sheet 1 of 1	Attorney Docket No: 42P11931	

US PATENT DOCUMENTS						
Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

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Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
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Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²

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**INFORMATION DISCLOSURE
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Application Number	10/043,843
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Examiner Name	Barron, Gilberto

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Sheet 1 of 2

Attorney Docket No: 42P11931

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US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
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FOREIGN PATENT DOCUMENTS

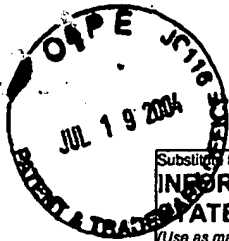
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Substitution for form 1449A/PTO
**INFORMATION DISCLOSURE
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Sheet 2 of 2

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OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ¹
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EXAMINER

DATE CONSIDERED

26 SEP 05

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wlr) 08/11/2003.
Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



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Title of
Invention

Apparatus and Method for Unilaterally Loading a Secure
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Application Number: 10/043843
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First Named Applicant: Michael Kozuch
Attorney Docket Number: 42P11931
Art Unit: 2132
Examiner: Gilberto Barron
Search string: (20010027511 or 20020007456 or
20020023032 or 20020147916 or 20020166061
or 20020169717 or 20030074548 or
20030115453 or 20030126442 or 20030126453
or 20030159056 or 20030188179 or
20030196085 or 20040117539 or 3699532 or
4207609 or 4319233 or 4403283 or 4419724 or
5237616 or 5287363 or 5560013 or 5604805 or
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5740178 or 5752046 or 5809546 or 5825880 or
5919257 or 5935242 or 5935247 or 6035374 or
6093213 or 6108644 or 6131166 or 6199152 or
6327652 or 6397379 or 6529909 or 6560627 or
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US Patent Documents


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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
<input checked="" type="checkbox"/>	1	20010027511	2001-10-04	Wakabayashi, Masaki , et al.			
<input checked="" type="checkbox"/>	2	20020007456	2002-01-17	Peinado, Marcus , et al.			
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48	6684326	2004-01-27	Cromer, Daryl C., et al.

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	26 Sep 05

Substitute for Form 1449A/PTO (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) DEC 02 2002 TRADEMARK OFFICE				Complete if Known	
Application Number		10/043,843			
Filing Date		November 1, 2001			
First Named Inventor:		Michael A. Kozuch			
Group Art Unit		2151			
Examiner Name		To Be Determined			
Attorney Docket Number		42390.P11931			
Sheet	2	of	2		
OTHER ART - NO PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT
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Sheet 1 of 2

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Application Number	10/043,843
Filing Date	11/01/01
First Named Inventor:	Michael A. Kozuch
Group Art Unit	2151
Examiner Name	To Be Determined
Attorney Docket Number	42390PTT931 11931

U.S. PATENT DOCUMENTS						
Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Code ²	Kind (If known)			
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Exam. Initial*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ^o
		Office ³	Number ⁴ Kind Code ⁵ (If known)				
↓			WO 02 17555	A	Verisign, Inc.	02/28/2002	
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			WO 02 086684	A	Hewlett Packard	10/31/2002	
			JP02000076139	A	Nippon	03/14/2000	

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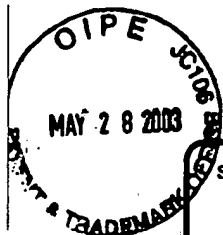
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10/043,843
		Filing Date	11/01/01
		First Named Inventor:	Michael A. Kozuch
		Group Art Unit	2151
		Examiner Name	To Be Determined
		Attorney Docket Number	42390P11931
Sheet 2 of 2			
OTHER ART - NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
JB		"Information Display Technique for a Terminate Stay Resident Program," IBM Technical Disclosure Bulletin, TDB-ACC-No. NA9112156, 12/1/91, pp. 156-158, Vol. 34, Issue No. 7A	
JB		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture," Proceedings of the Symposium on Research in Security and Privacy, 5/7/1990, pp. 2-19, XP010020182, ISBN: 0-8186-2060-9, Boxborough, MA.	
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			RECEIVED OCT 29 2003 Technology Center 2100

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 1 of 3

Complete If Known

Application Number	10/043,843
Filing Date	November 1, 2001
First Named Inventor	Michael A. Kozuch
Art Unit	2151
Examiner Name	To Be Determined
Attorney Docket Number	42390P11931

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	†
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
		WO 97/29567	08-14-1997	Fortress U&T Ltd.		X
		WO 01/75565 A2	10-01-2001	Intel Corporation		X
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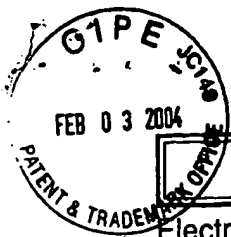
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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

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Title of Invention	Apparatus and Method for Unilaterally Loading a Secure Operating System With a Multiprocessor Environment						
Application Number: 10/043843							
Confirmation Number: 1141							
First Named Applicant: Michael Kozuch							
Attorney Docket Number: 42P11931							
Art Unit: 2132							
Examiner: Gilberto Barron							
Search string:		(20030018892 or 4037214 or 4162536 or 4276594 or 4319323 or 4759064 or 4795893 or 4825052 or 4907270 or 4907272 or 4910774 or 5007082 or 5139760 or 5317705 or 5434999 or 5442645 or 5459867 or 5504922 or 5528231 or 5533126 or 5564040 or 5566323 or 5606617 or 5720609 or 5721222 or 5796835 or 5825875 or 5867577 or 5900606 or 5901225 or 5903752 or 5970147 or 6061794 or 6092095 or 6115816 or 6173417 or 6212635 or 6222923 or 6252650 or 6269392 or 6282650 or 6308270 or 6330670 or 6357004 or 6363485 or 6374286 or 6378068 or 6378072 or 6389537 or 6412035 or 6421702 or 6435416 or 6445797 or 6463535 or 6463537 or 6507904 or 6535988 or 6557104 or 6633963 or 6633981).pn.					
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
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51	6421702	2002-07-16	Gulick, Dale E.
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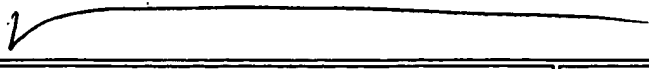
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